



## COMPANY OVERVIEW

# Castine LLC

Innovative Solutions For The Investment Community

## Overview

Castine helps firms in the investment community with high-value and intuitive systems for their middle- and back-office operations. Originally focused on accounting and executive information systems, Castine has expanded to provide market-leading products across the industry and across the globe.

## Product Line-up

Castine's fully encrypted cloud-based services provide an integrated set of tools that every firm can benefit from.

### Investors & Allocators

Gain efficiency with Castine's Due Diligence, Compliance, Risk Scoring, and Investment Review tools

### Asset Managers and Hedge Funds

Streamline operations with Castine's Commission Management, MiFID II, Compliance Calendar, and DDQ/RFP Document Room & Response Management

### Brokers & Research Providers

Improve insights with Castine's Research Pricing, Invoicing, and Interaction Distribution, Rate Card Management & Modeling, Compensation, and CSA/MiFID II Portal



### *The Commissioner* *Trader Compensation & Performance Analysis*

*The Commissioner* assists broker-dealers with all aspects of trader compensation, including trading commission allocation and expense and draw management for payroll.

*The Commissioner* provides insights into trade productivity and client profitability through the integration of client coverage, trade splits, fees, and direct and indirect expenses for each trader and client.

Trend analysis and inter- and intra- client and product analysis helps to identify upselling situations and to highlight clients that need additional attention.

### *The Commander* *CSA & Aggregation System*

*The Commander* is a complete end-to-end commission management, unbundling, and payment system for brokers who want to offer CSA services to their clients.

Whether operating as a CSA broker or as an aggregator, the *Commander* lets your firm offer clients a portal to enter their invoices, approve them, view their trading, unbundling, and payment history. Should your client prefer, you can manage the entire payment process – or any part of it – on their behalf.

Complete reconciliation and workflow management built-in.

### *Compliance Wheelhouse and Due Diligence Manager*

The *Compliance Wheelhouse* is a single portal with optional modules for due diligence, risk scoring, vendor management, policies and procedures, trade errors, and other critical tracking services that every compliance team needs.

Using the *Telescope* due diligence manager, firms manage fund manager, research broker, IRP, trading counter-party, IT surveys, KYV, KYC, employee, and other due diligence questionnaires. *Telescope* makes the entire attestation/approve/onboard process so much smoother than manual systems.

Castine has thousands of pre-completed DDQs ready for your review.

### *Research Pricing, Pricing, and Interaction Distribution and Execution Rate Cards*

The *Spinnaker* system consolidates all of the research pricing activities for broker-dealers and research providers. Purpose-built for MiFID II as well as for firms paying for research out of their own P&L, *Spinnaker* tracks every client's research price list, their research agreements, and all of their interactions and events. *Spinnaker* lets managers review their client's services and simplifies all of the steps for invoicing, payments, and revenue allocation.

Brokers love the ability of the *Rate Card Pilot* to keep track of every client's execution rate cards. Managers can view all historical and proposed rate cards as well as modeling new rates and then seeing how those rates stack up with the actual commission revenue for each client, market, etc.

#### **About Castine**

Since 1982, Castine LLC has provided Cloud-based and in-house solutions to the financial industry. Our C3 platform addresses Commission management, Compliance, and Compensation and are in use by brokers, IRPs, asset managers, hedge funds, and investors worldwide.

The Castine C3 platform of integrated modules lets clients focus on specific areas where gains can be quickly realized with the confidence that the suite can grow as their needs change.

Modules include CSA, RPA, and P&L-based commission management for the buy- and sell-side, including research consumption, pricing, and reviews; compliance calendar, due diligence and RFPs, and reporting and approvals from employees and trading; trader and adviser compensation, performance reporting, trend analysis, and profitability.

**Offices in New Jersey, London, and Buenos Aires**